

RECEIVED
CENTRAL FAX CENTER

JAN 04 2007

Atty Docket No. 020425-104700US

PTO FAX NO.: 1-571-273-8300

ATTENTION: Fee Address Indication

OFFICIAL COMMUNICATION
FOR THE PERSONAL ATTENTION OF
FEE ADDRESS INDICATION

CERTIFICATION OF FACSIMILE TRANSMISSION

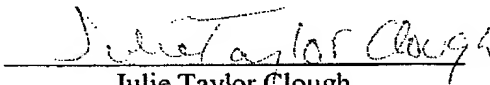
I hereby certify that the following documents in re Application of Neal L. Goldstein, Application No. 09/672,684, filed September 28, 2006 for METHOD OF PROCESSING CUSTOMER TRANSACTIONS are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Documents Attached

1. Fee Address Indication Form
2. Power of Attorney
3. Statement Under 37 CFR 3.73(b)

Number of pages being transmitted, including this page: 4

Dated: 1/4/07


Julie Taylor Clough

**PLEASE CONFIRM RECEIPT OF THIS PAPER BY
RETURN FACSIMILE AT (415) 576-0300**

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, Eighth Floor
San Francisco, CA 94111-3834
Telephone: 415-576-0200
Fax: 415-576-0300
0401

60950053 v1

RECEIVED
CENTRAL FAX CENTER

003/004

JAN 04 2007

PTO/SB/80 (04-05)

POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

☒ Practitioners associated with the Customer Number:

20350

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

☒ The address associated with Customer Number:

20350

OR

☐ Firm or
Individual Name

Address

City

State

Zip

Country

Telephone

Email


Assignee Name and Address:

Charles Schwab & Co., Inc.
101 Montgomery St.
San Francisco, CA 94104

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature		Date	12/20/06
Name	Yusuf Cassim	Telephone	(415) 636-3499
Title	Vice President and Associate General Counsel		

60943716 v1

JAN 04 2007

PTO/SB/96 (12-05)

Attorney Docket No. 020425-104700US

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Charles Schwab & Co., Inc.Application No./Patent No./Control No.: 7,110,973Filed/Issue Date: September 19, 2006Entitled: METHOD OF PROCESSING CUSTOMER TRANSACTIONSCharles Schwab & Co., Inc.

(Name of Assignee)

, a corporation

(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
(The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 011569, Frame 0150, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Patrick R. Jewik
Signature

Patrick R. Jewik

Printed or Typed Name

Attorney for Patent Holder

Title

1/4/07
Date

415-576-0200

Telephone Number